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CPA/162  
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\*LIMITED TO MATTERS  
AND PROCEEDINGS BEFORE  
FEDERAL COURTS & AGENCIES  
\*\*REGISTERED PATENT AGENT  
\*\*\*SENIOR COUNSEL

February 11, 2002

Commissioner for Patents  
Washington, D.C. 20231

WRITER'S DIRECT NUMBER:  
(202) 371-2619  
INTERNET ADDRESS:  
SCHWARTZ@SKGF.COM

BOX: CPA

Re: U.S. Utility Patent Application  
Request for Continued Prosecution Application (CPA)  
Appl. No. 09/263,689; Filed: March 5, 1999  
For: **Galection 9 Polypeptides**  
Inventors: Ni *et al.*  
Our Ref: 1488.0560002/EKS/ALS

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Fee Transmittal Form (PTO/SB/17);
2. Petition For Extension of Time Under 37 C.F.R. § 1.136(a)(1);
3. CPA Transmittal Form (PTO/SB/29);
4. Request for Interview with Examiner Prior to Continued Examination;
5. Preliminary Amendment;
6. Check no. 34141 in the amount of \$1,860.00 to cover:  
\$740.00 Basic filing fee (37 C.F.R. § 1.16(a));  
\$720.00 Extra claim fee (37 C.F.R. 1.16);  
\$400.00 Extension fee (37 C.F.R. § 1.136); and
7. One (1) return postcard.

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Commissioner for Patents  
February 11, 2002  
Page 2

It is respectfully requested that the attached postcard be stamped with the filing date of these documents and returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Aaron L. Schwartz  
Agent for Applicants  
Registration No. 48,181

EKS/ALS/lam  
Enclosures

P:\USERS\Schwartz\Cases\1488\0560002\pto\cpaptotran

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT**

(\$1,860.00)

**Complete if Known**

<b>Application Number</b>	09/263,689
<b>Filing Date</b>	March 5, 1999 (CPA Filed February 11, 2002)
<b>First Named Inventor</b>	Jian Ni
<b>Examiner Name</b>	Karen A. Canella
<b>Group Art Unit</b>	1642
<b>Attorney Docket No.</b>	1488.0560002/EKS/ALS

**METHOD OF PAYMENT (check one)**

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number 19-0036  
Deposit Account Name Sterne, Kessler, Goldstein & Fox P.L.L.C.

Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

Applicant claims small entity status  
See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other\*

\*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201 Utility filing fee	740.00
106	330	206 Design filing fee	
107	510	207 Plant filing fee	
108	740	208 Reissue filing fee	
114	160	214 Provisional filing fee	

**SUBTOTAL (1) (\$)** 740.00**2. EXTRA CLAIM FEES**

Extra	Fee from below	Fee Paid
Total Claims 46 - 20** = 26	X 18.00	= 468.00
Indep. Claims 6 - 3** = 3	X 84.00	= 252.00
Multiple Dependent 0		= 0.00

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	84	202 42 Independent claims in excess of 3
104	280	204 140 Multiple dependent claim
108	84	209 42 **Reissue independent claims over original patent
110	18	210 9 **Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$)** 720.00

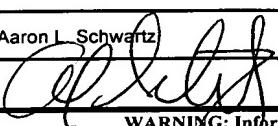
\*\* or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205 65	Surcharge - late filing fee or oath	
127	50	227 25	Surcharge - late provisional filing fee or cover sheet	
139	130	139 130	Non-English specification	
147	2,520	147 2,520	For filing a request for ex parte reexamination	
112	920*	112 920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115	110	215 55	Extension for reply within first month	
116	400	216 200	Extension for reply within second month	400.00
117	920	217 460	Extension for reply within third month	
118	1,440	218 720	Extension for reply within fourth month	
128	1,960	228 980	Extension for reply within fifth month	
119	320	219 160	Notice of Appeal	
120	320	220 160	Filing a brief in support of an appeal	
121	280	221 140	Request for oral hearing	
138	1,510	138 1,510	Petition to institute a public use proceeding	
140	110	240 55	Petition to revive - unavoidable	
141	1,280	241 640	Petition to revive - unintentional	
142	1,280	242 640	Utility issue fee (or reissue)	
143	460	243 230	Design issue fee	
144	620	244 310	Plant issue fee	
122	130	122 130	Petitions to the Commissioner	
123	130	123 130	Petitions related to provisional applications	
126	180	126 180	Submission of Information Disclosure Stmt	
581	40	481 40	Recording each patent assignment per property (times number of properties)	
146	740	246 370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249 370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279 370	Request for Continued Examination (RCE)	
169	900	169 900	Request for expedited examination of a design application	
Other fee (specify):				
Other fee (specify):				

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** 400.00**SUBMITTED BY****Complete (if applicable)**

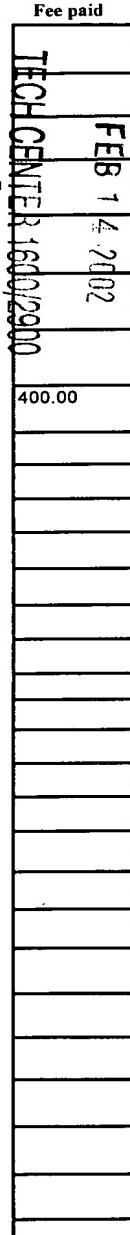
Name (Print/Type)	Aaron L. Schwartz	Registration No. (Attorney/Agent)	48,181	Telephone	202-371-2600
Signature				Date	2/11/02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Ni *et al.*

Appl. No. 09/263,689

Filed: March 5, 1999 (CPA Filed February 11, 2002)

For: **Galectin 9 Polypeptides**

Confirmation No.: 2137

Art Unit: 1642

Examiner: Karen A. Canella

Atty. Docket: 1488.0560002/EKS/ALS

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FEB 14 2002

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**Request for Interview with Examiner Prior to Continued Examination**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants respectfully request an interview with Examiner prior to continued examination.

Prompt and favorable consideration of this Request is respectfully requested.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Aaron L. Schwartz".

Aaron L. Schwartz  
Agent for Applicants  
Registration No. 48,181

Date: 2/11/02

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